

## **PART 2033 –RECORDS**

### **SUBPART A -RECORDS MANAGEMENT IN RURAL DEVELOPMENT FIELD OFFICES**

Section 2033.1 – Purpose. This instruction supplements the prescribed policies , procedures and methods for maintaining and managing records in Rural Development field offices.

Section 2033.5(a)(1)(ii) - Program Records. An "Essential Rural Development Record" will include Concentration Banking documents.

Section 2033.6(c) - File Maintenance. Listed below are the primary file station locations. Each office supervisor will identify the person responsible for maintaining each file station.

- Station 1 - Essential Rural Development Records
- Station 2 - Procedure Manuals
- Station 3 - Operational Files
- Station 4 - Borrower Case Files
- Station 5 - Application Files
- Station 6 - Closed Case Files
- Station 7 - Management System Box
- Station 8 - Servicing Card Box
- Station 9 - Preprinted Forms
- Station 10 - Supplies
- Station 11 - Non-Record Materials
- Station 12 - Continuation Files

Section 2033.6(c)(2)(ii) - Cross-Reference and Chargeout. A list will be prepared identifying dockets removed from the office by employee(s). This list will be filed behind the miscellaneous section of the management box.

Section 2033.6(c)(3)(iii) - Continuation Folders. Continuation Folders will be filed as a separate series apart from the active files.

Section 2033.6(c)(3)(viii)- Removal of Records. Inactive or long-term records transferred to additional storage space must be monitored annually and records disposed of as eligible.

Section 2033.8(a) - Arrangement of Materials Within Folder(s). Running case records will be kept as the top item in Position 3. Each page of running case record will contain applicant/borrower name and page number. Every entry will be dated and initialed by the employee making the entry.

Section 2033.9 - Removal of Material from “Active” Borrower Case Folders (Individual and Association). The active borrower case files will be reviewed every five years. The files will be divided and one-fifth reviewed each year to remove, destroy and relocate materials as prescribed.

Labels will be marked accordingly to show the fiscal year during which the review was conducted.

Section 2033.10(b)(4) – Disposition. The closed case files authorized for destruction will be destroyed annually between October 1<sup>st</sup> and December 31<sup>st</sup>.

Section 2033.11(a) - Section 504 Borrower List. A list of all borrowers who have received Section 504 assistance will be retained in the operational file. This list will contain: (1) Borrower/grantee name, address, and case number; (2) name of co-owner/grantee, if any; and (3) amount of loan and/or grant and date made.

2033.12 – Destroying Official Record Material. Eligible materials will be disposed of annually between October 1<sup>st</sup> and December 31<sup>st</sup>.

Exhibit B - Table of Contents for Association-Type Borrower Case Files. This exhibit is expanded to include a Table of Contents to cover all National and State forms, as well as unnumbered items, classified to each of the eight file positions in the borrower/grantee case folder for water and waste and community facility loans and grants. Exhibit B, Guide 1, is to be used for water and waste loans and grants. Exhibit B, Guide 2, is to be used for community facility loans and grants. Exhibit B, Guide 3, is to be used for community facility guaranteed loans. The File Position/Type section of these guides includes the various types of files to be set up. These include the following:

Borrower File - This is the file that is set up when a borrower/grantee applies for a primary loan/grant including subsequent loans/grants which may be funded at a different interest rate and different fiscal year to complete the primary loan/grant.

Project File - This is the file that is set up when a borrower/grantee already has a loan/grant and is applying for a subsequent loan/grant unrelated to the primary loan/grant.

Bond Transcript Portfolio - This is a portfolio set up to retain pertinent information on bonds.

Audit Portfolio - To retain audits.

User Portfolio - To retain information on users.

Construction Portfolio - To retain information on construction.

Map File - To retain maps.

A copy of the appropriate guide will be included in every docket to be filed as the top item in the eight respective positions.

**WATER AND WASTE LOANS AND/OR GRANTS**

**POSITION 1**

| Document   | Document or Form Number | Prepared By      | File Position/ Type | Retention Period | Date Received |
|--|-------------------------|------------------|---------------------|------------------|---------------|
| Supporting documentation on existing debt - <a href="#">1780.33(e)</a>                                       | N/A                     | Applicant        | 1 Project           | Indefinite       |               |
| Financial statements or audit for eligibility determination - <a href="#">1780.33(e)</a>                     | N/A                     | Applicant        | 1 Project           | 5 years          |               |
| Security Agreement - <a href="#">VA 1780</a>   | VA 440-4                | Applicant Agency | 1 Borrower          | Indefinite       |               |
| Financing Statements with attachment as appropriate - <a href="#">VA 1780</a>                                | UCC1                    | Applicant Agency | 1 Borrower          | Indefinite       |               |
| Audits - <a href="#">1780.47(d)</a>  | N/A                     | Applicant        | 1 Borrower          | 5 years          |               |
| Operational Review/District Director Report - <a href="#">Staff Instruction 1780-2, section 3.2(a)(i)(B)</a> | Memo RD 442-4           | Agency           | 1 Project           | Indefinite       |               |
| Quarterly management reports - <a href="#">1780.47(f)(1)</a>   | RD 442-2                | Applicant        | 1 Project           | 3 years          |               |
| Annual management reports - <a href="#">1780.47(f)(2)</a>  | RD 442-2                | Applicant        | 1 Project           | 3 years          |               |

**WATER AND WASTE LOANS AND/OR GRANTS**

**POSITION 2**

| Document  | Document or Form Number | Prepared By             | File Position/ Type          | Retention Period                    | Date Received |
|---|-------------------------|-------------------------|------------------------------|-------------------------------------|---------------|
| Documentation relative to health or sanitary hazards - <a href="#">1780.10(c)(1)</a> and <a href="#">1780.13(b)(1)</a>          | N/A                     | Applicant               | 2 Project                    | Indefinite                          |               |
| Electronic Funds Transfer (EFT) Payment Enrollment Form - <a href="#">Letter of Conditions</a>                                  | SF-3881                 | Applicant               | 2 Borrower                   | Indefinite                          |               |
| Request for Obligation of Funds - <a href="#">1780.41(a)</a>  | RD 1940-1               | Applicant Agency        | 2 Project                    | Indefinite                          |               |
| Project announcement - <a href="#">Staff Instruction 1780-2, section 2.7(e)</a>   | Exhibit A, RD 2015-C    | Approval Official       | 2 Project                    | Indefinite                          |               |
| Notification to LAPAS - <a href="#">Staff Instruction 1780-2, section 2.7(e)</a>  | N/A - Telephone call    | Approval Official       | 2 Project                    | Indefinite                          |               |
| Evidence of commitment of other funds with agency verification - <a href="#">1780.44(f)</a>                                     | Letter                  | Applicant Agency        | 2 Project                    | Until receipt of all funds          |               |
| Verification of users' contributions and other funds - <a href="#">1780.44(b)</a>   | Memo                    | Agency                  | 2 Project                    | Indefinite                          |               |
| Interim financing: evidence of commitment from commercial lender and notice of agency's commitment - <a href="#">1780.39(d)</a> | Bulletin 1780-10 or 10a | Applicant Agency        | 2 Project                    | 1 year after permanent loan closing |               |
| Draft bond documents - <a href="#">LOC</a>  | N/A                     | Bond Attorney Applicant | 2 Bond Portfolio             | Until receipt of bond transcript    |               |
| Association Water or Sewer System Grant Agreement - <a href="#">1780.45(c)</a>  | RB 1780-12              | Applicant Agency        | 2 Project                    | Indefinite                          |               |
| Bond - <a href="#">1780.83</a>  | N/A                     | Applicant Bond Counsel  | 2 Project (original in safe) | As long as debt is outstanding      |               |
| Promissory Note - <a href="#">1780.45(a)(1)</a>   | RD 440-22               | Applicant Agency        | 2 Project (original in safe) | As long as debt is outstanding      |               |
| Bond and bond transcript - <a href="#">1780.83</a>  | N/A                     | Applicant Bond Counsel  | 2 Bond Portfolio             | As long as debt is outstanding      |               |
| Evidence bond transmitted to finance office   | Memo                    | Agency                  | 2 Bond Portfolio             | As long as debt is outstanding      |               |

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|   |            |                              |              |                                  |  |
|---|------------|------------------------------|--------------|----------------------------------|--|
| Estimate of Funds Needed for 30 Day Period - 1780.45(b)(1)(ii)      | RD 440-11  | Applicant                    | 2<br>Project | 3 years after funds expended     |  |
| Agreement for prior concurrence in bills and vouchers - 1780.45(e)  | Agreement  | Applicant<br>Agency          | 2<br>Project | 3 years after funds expended     |  |
| Pledge of collateral - 1780.45(e)(2) and (3)                        | Letter     | Applicant                    | 2<br>Project | Until all funds expended         |  |
| Deposit Agreement - 1780.45(e)(3)                                   | RD 402-1   | Applicant                    | 2<br>Project | Until all funds expended         |  |
| EFT/ACH/Banking information   | N/A        | Agency                       | 2<br>Project | 3 years after all funds expended |  |
| Approval of invoices - 1780.45(e)(1) and 1780.76(e)                 | RD 1924-18 | Payee<br>Applicant<br>Agency | 2<br>Project | 3 years after all funds expended |  |
| Monitoring project costs - 1780.45(e)(4)                            | N/A        | Agency                       | 2<br>Project | 3 years after all funds expended |  |
| Planned use of remaining funds with agency concurrence - 1780.45(f) | N/A        | Applicant<br>Agency          | 2<br>Project | 3 years after all funds expended |  |

**WATER AND WASTE LOANS AND/OR GRANTS**

**POSITION 3**

| Document  | Document or Form Number   | Prepared By               | File Position/ Type | Retention Period | Date Received |
|---|---|---------------------------|---------------------|------------------|---------------|
| Notice of intent to file application - <a href="#">1780.19(a)</a>   | Newspaper Publication   | Applicant                 | 3 Project           | Indefinite       |               |
| Application for Federal Assistance - <a href="#">1780.31(b)</a>   | SF 424 with 424A and B for non-construction <u>OR</u> 424C and D for construction | Applicant                 | 3 Project           | Indefinite       |               |
| Other credit information - <a href="#">1780.7(d)</a> and <a href="#">1780.33(d)</a>   | Certification   | Applicant                 | 3 Project           | Indefinite       |               |
| State intergovernmental review and recommendations - <a href="#">1780.33(b)</a>   | Letter  | Applicant                 | 3 Project           | Indefinite       |               |
| Categorical Exclusion Without Report - <a href="#">1794</a>   | Exhibit H of Staff Instruction 1794-1   | Agency                    | 3 Project           | Indefinite       |               |
| Categorical Exclusion With Report - <a href="#">1794</a>  | Exhibit H of Staff Instruction 1794-1   | Agency Applicant Engineer | 3 Project           | Indefinite       |               |
| Environmental Report - <a href="#">1794</a>   | Exhibit A of Staff Instruction 1794-1   | Agency Engineer           | 3 Project           | Indefinite       |               |
| Finding of No Significant Impact (FONSI) - <a href="#">1794</a>   | Exhibit E of Staff Instruction 1794-1   | Agency                    | 3 Project           | Indefinite       |               |
| Civil Rights Impact Analysis with attachments: Census data and map of service area identifying location of proposed site, any minority or low-income community, industrial sites (such as sewage and solid waste treatment facilities and industrial parks), railroad tracks, and farms that routinely crop-dust - <a href="#">1794</a> and <a href="#">RD AN No. 3776 (2006-P)</a> | RD 2006-38  | Agency                    | 3 Project           | Indefinite       |               |
| Environmental Publication - <a href="#">Bulletin 1794A-602</a>  | News Advertisement  | Applicant                 | 3 Project           | Indefinite       |               |
| Documentation on historical and archaeological assessments - <a href="#">Bulletin 1794A-602 &amp; 1901-F, 1901.255(a)(2)</a>  | Letters/Running Record  | Agency Applicant          | 3 Project           | Indefinite       |               |
| Statement from SHPO on historical sites and archaeological properties - <a href="#">Bulletin 1794A-602</a>  | Letter  | Applicant                 | 3 Project           | Indefinite       |               |

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|  |                          |                     |            |            |  |
|--|--------------------------|---------------------|------------|------------|--|
| Evidence of environmental review and adoption of other Federal agency assessment - <a href="#">1794</a>  | Running Record           | Agency              | 3 Project  | Indefinite |  |
| Environmental Impact Statement - <a href="#">1794</a>  | N/A                      | Agency              | 3 Project  | Indefinite |  |
| Project Summary - Water and Waste Disposal and Other Utility-Type Projects - <a href="#">1780.41(a)</a>  | RD 1942-45               | Agency              | 3 Project  | Indefinite |  |
| Underwriting Information – <a href="#">CPAP</a>  | CPAP                     | Agency              | 3 Project  | Indefinite |  |
| Operating Budget - <a href="#">1780.33(h)</a> and <a href="#">1780.41(a)</a>   | RD 442-7                 | Applicant           | 3 Project  | Indefinite |  |
| Identify known relationships/ association with agency employee - <a href="#">1780.1(f)</a>   | Memo                     | Applicant           | 3 Project  | Indefinite |  |
| Evidence proposed facility will be consistent with development plans - <a href="#">1780.1(h)</a>   | Letter                   | Applicant           | 3 Project  | Indefinite |  |
| Certification regarding tying arrangements - <a href="#">1780.33(h)(8)</a>   | Certification            | Applicant           | 3 Project  | Indefinite |  |
| Certification regarding lobbying - <a href="#">1780.33(h)(7)</a>   | 1940-Q, Exhibit A or A-1 | Applicant<br>Others | 3 Project  | Indefinite |  |
| Certification regarding a drug-free workplace - <a href="#">1780.33(h)(6)</a>  | AD-1049                  | Applicant           | 3 Borrower | Indefinite |  |
| Certification regarding debarment or suspension - <a href="#">1780.33(h)(5)</a>  | AD-1047<br>AD-1048       | Applicant           | 3 Borrower | Indefinite |  |
| Applicant certification, federal collection policies for consumer or commercial debt - <a href="#">1780.33(h)(2)</a>                           | RD 1910-11               | Applicant           | 3 Project  | Indefinite |  |
| Assurance Agreement - <a href="#">RD Instruction 1901-E</a>  | RD 400-4                 | Applicant           | 3 Project  | Indefinite |  |
| Evidence of no outstanding judgment - <a href="#">1780.7(g)</a>  | Bulletin 1780-22         | Applicant           | 3 Project  | Indefinite |  |
| Notice of public information meeting and minutes - <a href="#">1780.19(b)</a>  | Publication Minutes      | Applicant           | 3 Project  | Indefinite |  |
| Agency's determination and documentation on other credit - <a href="#">1780.7(d)</a> and <a href="#">Staff Instruction 1780-2, section 2.1</a> | Memo/Running Record      | Agency              | 3 Project  | Indefinite |  |
| Eligibility determination and recommendations to State Director - <a href="#">Staff Instruction 1780-2, section 2.4(d)</a>                     | Memo/Running Record      | Agency              | 3 Project  | Indefinite |  |
| Site visit - <a href="#">Staff Instruction 1780-2, section 2.4(a)</a>  | Memo                     | Agency              | 3 Project  | Indefinite |  |

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|   |                              |                   |            |                   |  |
|---|------------------------------|-------------------|------------|-------------------|--|
| Inequities within service area - <a href="#">1780.11</a>  | Memo/Running Record          | Agency            | 3 Project  | Indefinite        |  |
| Survey on Ensuring Equal Opportunity for Applicants [required for non-profit grant applicants] – <a href="#">N/O and S/O unnumbered memorandums dated 7/23/03 and 8/7/03 respectively</a> | AD-1180                      | Applicant         | 3 Project  | Indefinite        |  |
| Dun and Bradstreet Data Universal Numbering System (DUNS Number) – <a href="#">OMB Requirement/State Office memo dated January 21, 2004</a>   | Memo/Running Record          | Applicant         | 3 Borrower | Indefinite        |  |
| Evidence regarding median household income, if other than census data is used - <a href="#">1780.1(b)</a>   | Survey or Other Data         | Applicant Agency  | 3 Project  | Indefinite        |  |
| Evidence of overall review of applicant's financial status - <a href="#">Staff Instruction 1780-2, section 2.4(c)</a>   | Memo                         | Agency            | 3 Project  | Indefinite        |  |
| Project selection criteria - <a href="#">1780.17</a>  | Bulletin 1780-1              | Agency            | 3 Project  | Indefinite        |  |
| Justification for additional project points - <a href="#">1780.17(e)</a>  | Memo/Running Record          | Agency            | 3 Project  | Indefinite        |  |
| Certification regarding applicant not appearing on debarment/suspension list - <a href="#">1940-M, section 1940.606(b)</a>  | Memo/Running Record          | Agency            | 3 Project  | Indefinite        |  |
| Certification that the Credit Alert Interactive Voice Response System (CAIVRS) has been checked - <a href="#">S/O unnumbered memo</a>   | Memo/Running Record/Printout | Approval Official | 3 Project  | Indefinite        |  |
| Certification that CAIVRS has been checked at closing - <a href="#">S/O unnumbered memo</a>   | Memo/Running Record/Printout | Agency            | 3 Project  | Indefinite        |  |
| Letter of Conditions - <a href="#">1780.41(a)(5)</a>  | VA RUS 1780, Exhibit B       | Agency            | 3 Project  | Indefinite        |  |
| Letter of Intent to Meet Conditions - <a href="#">1780.41(a)(6)</a>   | RD 1942-46                   | Applicant         | 3 Project  | Indefinite        |  |
| Evidence of agreement with accountant - <a href="#">1780.39(b)</a>  | Letter                       | Attorney          | 3 Project  | Term of Agreement |  |
| Certification regarding applicant/contractor not appearing on debarment/suspension list - <a href="#">1940-M, 1940.606(b)</a>   | Memo/Running Record/Printout | Agency            | 3 Project  | Indefinite        |  |
| Accountant's certification on accounting system - <a href="#">LOC</a>   | Letter                       | Accountant        | 3 Project  | Indefinite        |  |
| Approval of accounting system - <a href="#">LOC</a>   | Certification/Running Record | Agency            | 3 Project  | Indefinite        |  |
| Verification of users - <a href="#">1780.44(b)</a>  | Certification/Running Record | Agency            | 3 Project  | Indefinite        |  |

**WATER AND WASTE LOANS AND/OR GRANTS**

**POSITION 4**

| <b>Document</b>  | <b>Document or Form Number</b> | <b>Prepared By</b> | <b>File Position/ Type</b> | <b>Retention Period</b> | <b>Date Received</b> |
|--|--------------------------------|--------------------|----------------------------|-------------------------|----------------------|
| Evidence applicant notified of approval - <a href="#">1780.41(b)</a> | Letter                         | Approval Official  | 4 Project                  | 5 years                 |                      |
| Correspondence   | Letters, Memos, etc.           | Various            | 4 Project                  | 5 years                 |                      |

**WATER AND WASTE LOANS AND/OR GRANTS**

**POSITION 5**

| Document  | Document or Form Number   | Prepared By      | File Position/ Type       | Retention Period                 | Date Received |
|---|---|------------------|---------------------------|----------------------------------|---------------|
| Evidence of legal authority and organization - <a href="#">1780.7(e)</a> & <a href="#">1780.33(e)</a>                           | N/A   | Applicant        | 5 Project                 | Indefinite                       |               |
| Articles of Incorporation and Certificates of Incorporation and Good Standing - <a href="#">1780.33(e)</a>                      | N/A   | Applicant        | 5 Project                 | Indefinite                       |               |
| Bylaws, Rules, and Regulations - <a href="#">1780.33(e)</a>   | N/A   | Applicant        | 5 Project                 | Indefinite                       |               |
| Organizational minutes - <a href="#">1780.33(e)</a>   | N/A   | Applicant        | 5 Project                 | Indefinite                       |               |
| Legal Services Agreement with agency concurrence - <a href="#">1780.39(b)(2)</a>  | Bulletin 1780-7   | Applicant Agency | 5 Project                 | Indefinite                       |               |
| Management Agreement with agency concurrence - <a href="#">1780.39(b)(4)</a>  | Bulletin 1780-8   | Applicant Agency | 5 Project                 | Indefinite                       |               |
| Agreement between applicant and individual users - <a href="#">1780.9(g)(2)</a>   | Agreement   | Applicant        | 5 Project/ User Portfolio | 3 years after start of operation |               |
| Water Purchase Contract/Sewage Treatment Contract with agency concurrence - <a href="#">1780.62</a> and <a href="#">1780.63</a> | N/A - Utilize RUS Instruction 1780, section 1780.62, as a guide | Applicant Agency | 5 Project                 | Term of Agreement                |               |
| Agreements/Contracts with professional and technical representatives with agency concurrence - <a href="#">1780.39(b)</a>       | Agreement/Letter  | Applicant Agency | 5 Project                 | Term of Agreement                |               |
| Resolution or minutes authorizing execution of documents - <a href="#">LOC</a>  | N/A   | Applicant        | 5 Project                 | Indefinite                       |               |
| Water/Sewer Users Agreement or evidence of mandatory hook-up ordinance - <a href="#">1780.39(c)</a>                             | Bulletin 1780-9   | Applicant        | 5 Project/ User Portfolio | 3 years after start of operation |               |
| Evidence of Users - Map, list of signed users, and having user agreements available - <a href="#">LOC</a>                       | N/A   | Applicant        | 5 Project/ User Portfolio | 3 years after start of operation |               |
| Evidence of program to encourage use of facility with agency approval - <a href="#">1780.39(c)(5)</a>                           | Letter  | Applicant Agency | 5 Project/ User Portfolio | 3 years after start of operation |               |

|   |                                  |                       |                       |  |  |
|---|----------------------------------|-----------------------|-----------------------|--|--|
| Resolution of Members or Stockholders - <a href="#">1780.39(f)</a>              | RD 1942-8                        | Applicant             | 5 Project             | Indefinite                               |  |
| Deed to real property - <a href="#">1780.44(g)</a>                              | N/A                              | Applicant             | 5 Project             | Indefinite                               |  |
| Evidence of acquisition of necessary property - <a href="#">1780.44(g)</a>      | Letter/Agreement                 | Applicant             | 5 Project             | Indefinite                               |  |
| Rights-of-way map - <a href="#">LOC</a>   | Map                              | Engineer              | 5 Construc. Portfolio | 3 years after builder's warranty expires |  |
| Rights-of-Way/Easements - <a href="#">1780.44(g)(1)</a>                         | RD 442-20 or other approved form | Applicant             | 5 Construc. Portfolio | 3 years after builder's warranty expires |  |
| Opinion of Counsel Relative to Rights-of-Way - <a href="#">1780.44(g)(1)(i)</a> | RD 442-22                        | Attorney              | 5 Project             | Indefinite                               |  |
| Narrative opinion of attorney - <a href="#">LOC</a>                             | Letter                           | Attorney              | 5 Project             | Indefinite                               |  |
| Preliminary Title Opinion - <a href="#">1780.44(g)(2)</a>                       | RD 1927-9                        | Attorney              | 5 Project             | Indefinite                               |  |
| Title insurance binder - <a href="#">1780.44(g)(2)(i)</a>                       | Binder                           | Applicant             | 5 Project             | Indefinite                               |  |
| Water rights - <a href="#">1780.44(g)(3)</a>                                    | Letter                           | Applicant             | 5 Project             | Indefinite                               |  |
| Lease Agreements - <a href="#">1780.44(g)(4)</a>                                | Agreement                        | Applicant             | 5 Project             | Term of Agreement                        |  |
| Closing instructions - <a href="#">1780.44(h)</a>                               | Memos                            | OGC Approval Official | 5 Project             | Indefinite                               |  |
| Loan Resolution (Public Bodies) - <a href="#">1780.45(a)(2)</a>                 | Bulletin 1780-27                 | Applicant Agency      | 5 Project             | Indefinite                               |  |
| Loan Resolution Security Agreement - <a href="#">1780.45(a)(2)</a>              | Bulletin 1780-28                 | Applicant Agency      | 5 Project             | Indefinite                               |  |
| Deed of Trust - <a href="#">VA 1780</a>   | VA 1780, Exhibit D, Attachment 1 | Attorney              | 5 Project             | Indefinite                               |  |
| Final Title Opinion - <a href="#">1780.44(g)(2)</a>                             | RD 1927-10                       | Attorney              | 5 Project             | Indefinite                               |  |
| Title insurance - <a href="#">1780.44(g)(2)(i)</a>                              | Policy                           | Applicant             | 5 Project             | Indefinite                               |  |
| Evidence of waiver of title defects - <a href="#">1780.44(g)(2)(ii)</a>         | Letter                           | Agency                | 5 Project             | Indefinite                               |  |
| Closing certificate - <a href="#">Closing instructions</a>                      | VA 1780, Exhibit E               | Agency                | 5 Project             | Indefinite                               |  |
| Closing certificate - <a href="#">Closing instructions</a>                      | VA 1780, Exhibit D, Attachment 4 | Attorney              | 5 Project             | Indefinite                               |  |
| Initial compliance review - <a href="#">1780.44(c)</a>                          | RD 400-8                         | Agency                | 5 Borrower            | Indefinite                               |  |
| Post review of loan closing - <a href="#">1780.45(g)</a>                        | Memos                            | OGC Approval Official | 5 Project             | Indefinite                               |  |

**WATER AND WASTE LOANS AND/OR GRANTS**

**POSITION 6**

| Document  | Document or Form Number | Prepared By          | File Position/ Type   | Retention Period                                  | Date Received |
|---|-------------------------|----------------------|-----------------------|---|---------------|
| Preliminary Engineering Report/ Evidence of review by agency engineer - <a href="#">1780.33(c)</a>    | Report/Letter           | Applicant Agency     | 6 Project             | Indefinite (if feasibility included; otherwise, 3 |               |
| Equal Opportunity Agreement - <a href="#">RD Instruction 1901-E and 1780.33(h)(3)</a>                 | RD 400-1                | Applicant            | 6 Project             | 3 years after builder's warranty expires          |               |
| Agreement for Engineering Services with agency concurrence - <a href="#">1780.39(b)(1)</a>            | EJCDC No. 1910-1-FA     | Applicant Agency     | 6 Construc. Portfolio | 3 years after builder's warranty expires          |               |
| Department of Health Approval - <a href="#">1780.57</a>   | Letter                  | DOH official         | 6 Project             | 3 years after builder's warranty expires          |               |
| Permits (building, operating, VDOT, etc.) - <a href="#">1780.57</a>                                   | Permits                 | Applicant            | 6 Project             | 3 years after builder's warranty expires          |               |
| Contract documents - <a href="#">1780.61(a)</a>   | Standard Documents      | Owner Agency OGC     | 6 Contract Portfolio  | 3 years after builder's warranty expires          |               |
| Legal certification regarding adequacy of contract documents - <a href="#">1780.61(b)</a>             | Certification           | Owner Attorney       | 6 Contract Portfolio  | 3 years after builder's warranty expires          |               |
| Review and approval of contract documents - <a href="#">1780.61(b)</a> and <a href="#">1780.75(i)</a> | Letter                  | Agency               | 6 Contract Portfolio  | 3 years after builder's warranty expires          |               |
| Bid tabulation sheet with agency approval - <a href="#">1780.61(b)</a>                                | Sheets and Letter       | Owner Agency         | 6 Construc. Portfolio | 3 years after builder's warranty expires          |               |
| Inspection services - <a href="#">1780.67</a>   | Letter                  | Agency Engineer      | 6 Construc. Portfolio | 3 years after builder's warranty expires          |               |
| Evidence and certifications for contracts awarded prior to application - <a href="#">1780.74</a>      | Certification           | Owner                | 6 Construc. Portfolio | 3 years after builder's warranty expires          |               |
| Compliance Statement - <a href="#">1780.75</a>  | RD 400-6                | Contractor           | 6 Project             | 3 years after builder's warranty expires          |               |
| Performance and Payment Bonds/Treasury Circular - <a href="#">1780.75(c)</a>                          | Bonds                   | Contractor and Owner | 6 Construc. Portfolio | 3 years after builder's warranty expires          |               |

|   |                          |                             |                             |  |  |
|---|--------------------------|-----------------------------|-----------------------------|--|--|
| Release by claimants - <a href="#">1780.75(c)</a>   | RD 1924-10               | Owner                       | 6<br>Construc.<br>Portfolio | 3 years after<br>builder's<br>warranty expires |  |
| Certificate of Contractors Release - <a href="#">1780.75(c)</a>   | RD 1924-9                | Owner                       | 6<br>Construc.<br>Portfolio | 3 years after<br>builder's<br>warranty expires |  |
| Contract Change Order with agency approval - <a href="#">1780.75(h)</a> and <a href="#">1780.76(h)(2)</a>       | RD 1924-7                | Agency and<br>Owner         | 6<br>Construc.<br>Portfolio | 3 years after<br>builder's<br>warranty expires |  |
| Record of Pre-Construction Conference - <a href="#">1780.76(a)</a>  | RD 1924-16               | Agency<br>Applicant         | 6<br>Project                | 3 years after<br>builder's<br>warranty expires |  |
| Resume of resident inspector with borrower and agency approval - <a href="#">1780.76(c)</a>                     | Letter                   | Engineer<br>Agency<br>Owner | 6<br>Construc.<br>Portfolio | 3 years after<br>builder's<br>warranty expires |  |
| Evidence of daily diary and inspection reports - <a href="#">1780.76(d)</a>                                     | Bulletin 1780-18         | Owner                       | 6<br>Construc.<br>Portfolio | 3 years after<br>builder's<br>warranty expires |  |
| Partial Payment Estimate - <a href="#">1780.76(e)</a>   | 1924-18                  | Owner                       | 6<br>Construc.<br>Portfolio | 3 years after<br>builder's<br>warranty expires |  |
| Pre-final inspections - <a href="#">1780.76(f)</a>  | RD 1924-12               | Agency<br>Owner             | 6<br>Construc.<br>Portfolio | 3 years after<br>builder's<br>warranty expires |  |
| Final inspections - <a href="#">1780.76(g)</a>  | RD 1924-12               | Agency                      | 6<br>Construc.<br>Portfolio | Indefinite                                     |  |
| Evidence that as-built drawings are on file   | Letter/<br>Certification | Engineer                    | 6<br>Map File               | Indefinite                                     |  |
| Warranty inspection - <a href="#">Staff Instruction 1780-2, section 3.2(a)(i)(A)</a>                            | RD 1924-12               | Agency<br>Official          | 6<br>Construc.<br>Portfolio | Indefinite                                     |  |
| Subsequent inspections of facility and operation - <a href="#">Staff Instruction 1780-2, section 3.2(a)(ii)</a> | RD 1924-12               | Agency<br>Official          | 6<br>Project                | Until next<br>inspection is<br>completed       |  |

**WATER AND WASTE LOANS AND/OR GRANTS**

**POSITION 7**

| <b>Document</b>   | <b>Document or Form Number</b>      | <b>Prepared By</b> | <b>File Position/ Type</b> | <b>Retention Period</b>    | <b>Date Received</b> |
|---|-------------------------------------|--------------------|----------------------------|----------------------------|----------------------|
| Evidence of insurance -- property, general liability, flood, and worker's compensation - <a href="#">1780.39(g)</a> | List of Policies or Other Documents | Applicant          | 7<br>Borrower              | Until replaced/<br>expires |                      |
| Fidelity or employee dishonesty bond - <a href="#">1780.39(g)(3)</a>  | Copy of Bond                        | Applicant          | 7<br>Borrower              | Until replaced/<br>expires |                      |

## WATER AND WASTE LOANS AND/OR GRANTS

### POSITION 8

| Document   | Document or Form Number | Prepared By                   | File Position/ Type | Retention Period                 | Date Received |
|--|-------------------------|-------------------------------|---------------------|----------------------------------|---------------|
| List of users by name expected to use over 20,000 gallons per month - <a href="#">PER</a>      | N/A (May appear in PER) | Applicant Consulting Engineer | 8 Project           | 3 years after start of operation |               |
| Use analysis showing separation of residential and non-residential usage - <a href="#">PER</a> | N/A (May appear in PER) | Applicant Consulting Engineer | 8 Project           | 3 years after start of operation |               |
| Copy of existing rate - <a href="#">PER</a>  | N/A (May appear in PER) | Applicant Consulting Engineer | 8 Project           | 3 years after start of operation |               |
| Bill analysis for existing system - <a href="#">PER</a>  | N/A (May appear in PER) | Applicant Consulting Engineer | 8 Project           | 3 years after start of operation |               |
| Projected bill analysis for new users - <a href="#">1780.39(c)(1)</a>                          | N/A (May appear in PER) | Applicant Consulting Engineer | 8 Project           | 3 years after start of operation |               |
| Statement reporting the total number of potential users - <a href="#">1780.39(c)(1)</a>        | N/A (May appear in PER) | Applicant Consulting Engineer | 8 Project           | 3 years after start of operation |               |
| Adjustments to historic income and cost -- explain changes - <a href="#">1780.7(f)</a>         | N/A (May appear in PER) | Applicant Consulting Engineer | 8 Project           | 3 years after start of operation |               |
| Cost breakdown showing treatment, collection, etc. - <a href="#">PER</a>                       | N/A (May appear in PER) | Applicant Consulting Engineer | 8 Project           | Indefinite                       |               |
| Appraisal report water and waste disposal systems - <a href="#">1780.44(g)</a>                 | RD 442-10               | Agency or Other               | 8 Project           | Indefinite                       |               |



**COMMUNITY FACILITIES LOANS AND/OR GRANTS**

**POSITION 1**

| <b>SO<br/>USE</b> | <b>FORMS</b> | <b>DOCUMENT/ACTION</b>  | <b>FILE<br/>POS./<br/>TYPE</b> | <b>REFERENCE</b>         | <b>PREPARED<br/>BY</b> | <b>RETENTION<br/>PERIOD</b> | <b>DATE<br/>REC'D</b> |
|-------------------|--------------|---|--------------------------------|--------------------------|------------------------|-----------------------------|-----------------------|
|                   | N/A          | Proposed Auditing/Accounting Agreements                             | 1<br>Borrower                  | 1942.17(q)(1)<br>(ii)    | Auditor<br>Accountant  | Indefinite                  |                       |
|                   | N/A          | Audits  | 1<br>Borrower                  | 1942.17(q)(4)            | Auditor                | 5 years                     |                       |
|                   | UCC-1        | Financing Statements with attachment as appropriate                 | 1<br>Borrower                  | VA 1942-A,<br>Exhibit D  | Applicant<br>A/O       | Indefinite                  |                       |
|                   | VA 440-4     | Security Agreement  | 1<br>Borrower                  | VA 1942-A,<br>Exhibit D  | Applicant<br>A/O       | Indefinite                  |                       |
|                   | Title        | DMV Lien  | 1<br>Project                   | LOC                      | A/O                    | Indefinite                  |                       |
|                   | RD 442-2     | Quarterly Management Reports  | 1<br>Project                   | 1942.17(q)(2)<br>(i)(B)  | Applicant              | 3 years                     |                       |
|                   | RD 442-2     | Annual Management Reports   | 1<br>Project                   | 1942.17(q)(2)<br>(i)(B)  | Applicant              | 3 years                     |                       |
|                   | RD 442-4     | RDM's report between 9th and 11th months of first year of operation | 1<br>Project                   | 1942.17(r)(1)<br>(ii)(A) | A/O                    | 3 years                     |                       |

**COMMUNITY FACILITIES LOANS AND/OR GRANTS**

**POSITION 2**

| SO USE | FORMS                     | DOCUMENT/ACTION  | FILE POS./ TYPE              | REFERENCE          | PREPARED BY   | RETENTION PERIOD                    | DATE REC'D |
|--------|---------------------------|--|------------------------------|--------------------|---------------|-------------------------------------|------------|
|        | 3570-2                    | Worksheet for Computing Maximum Grant Assistance                   | 2 Project                    | RD 3570-B, 3570.66 | A/O           | Indefinite                          |            |
|        | 3570-3                    | CF Grant Agreement   | 2 Project                    | RD 3570-B, 3570.80 | A/O           | Indefinite                          |            |
|        | N/A                       | Identification of grant funds use (File with Grant Agreement)      | 2 Project                    | RD 3570-B          | A/O           | Indefinite                          |            |
|        | Memo                      | Evidence of other funds with agency verification                   | 2 Project                    | 1942.17(n)(6)      | Applicant A/O | Until receipt of all funds          |            |
|        | N/A                       | Obtain interim financing   | 2 Project                    | 1942.17(n)(3)      | Applicant     | 1 year after permanent loan closing |            |
|        | 1942-14                   | Fund Analysis (revised based on bids)                              | 2 Project                    | 1942.5(c)(3)       | A/O           | Indefinite                          |            |
|        | 1940-1                    | Request for obligation of funds                                    | 2 Project                    | 1942.5(c)(3)       | A/O           | Indefinite                          |            |
|        | VA 1942-A, Exh. B, Att. 1 | Lower Interest Rate Certification                                  | 2 Project                    | 1942.17(f)(1)      | Applicant     | Indefinite                          |            |
|        | SF-3881                   | Obtain Banking information from borrower and populate EFT database | 2 Project                    | EFT Handbook       | A/O           | Indefinite                          |            |
|        | N/A                       | Request funds disbursement   | 2 Project                    | EFT/ACH            | Applicant A/O | Indefinite                          |            |
|        | Invoices                  | Evidence of bills paid to date                                     | 2 Project                    | 1942.17(p)(3)      | Applicant     | Indefinite                          |            |
|        | 402-2                     | Statement of deposits and withdrawals - Monitor funds              | 2 Project                    | 1942.17(p)(3)      | A/O           | Indefinite                          |            |
|        | 440-22                    | Promissory Note  | 2 Project (Original in safe) | 1942.8(b)          | Applicant     | As long as debt is outstanding      |            |
|        | N/A                       | Bond   | 2 Project (Original in safe) | 1942.8(b)          | Applicant     | As long as debt is outstanding      |            |
|        | N/A                       | Final Bond Transcript  | 2 Bond Portfolio             | 1942.19(c)         | Bond Counsel  | As long as debt is outstanding      |            |

**COMMUNITY FACILITIES LOANS AND/OR GRANTS**

**POSITION 3**

| <b>SO USE</b> | <b>FORMS</b>                             | <b>DOCUMENT/ACTION</b>   | <b>FILE POS./ TYPE</b> | <b>REFERENCE</b>                                     | <b>PREPARED BY</b>    | <b>RETENTION PERIOD</b> | <b>DATE REC'D</b> |
|---------------|--|--|------------------------|--|-----------------------|-------------------------|-------------------|
|               | SF424.1<br>SF424.2                       | Preapplication for Federal Assistance  | 3<br>Project           | 1942.2(a)  | Applicant             | Indefinite              |                   |
|               | Memo                                     | Notification of intent to apply for assistance   | 3<br>Project           | 1942.2(a)  | Applicant             | Indefinite              |                   |
|               | Letter                                   | State intergovernmental review comments  | 3<br>Project           | 1942.2(a)(iii)                                       | Applicant             | Indefinite              |                   |
|               | Letter                                   | Certification of inability to obtain credit elsewhere (letter from applicant citing rates and terms from at least two contacts)                  | 3<br>Project           | 1942.17(b)(3)  | Applicant             | Indefinite              |                   |
|               | Printouts/<br>Running<br>Record          | Current/Past Debt History with RD  | 3<br>Project           | 1942.2(a)(v)   | A/O                   | Indefinite              |                   |
|               | N/A                                      | RD Certification of basis for which loan is made:<br>a. Five years successful operation<br>b. Assured income<br>c. Exceptional community support | 3<br>Project           | 1942.17(g)(2)<br>(iii) and<br>1942.17(g)(3)<br>(iii) | A/O                   | Indefinite              |                   |
|               | N/A                                      | Evidence of successful financial operation (history) - Five years  | 3<br>Project           | 1942.17(g)(2)<br>(iii) and<br>1942.17(g)(3)<br>(iii) | Applicant<br>Attorney | Indefinite              |                   |
|               | Memo/<br>Running<br>Record/<br>Printout  | Certification that the Credit Alert Interactive Voice Repsonse System (CAIVRS) has been checked  | 3<br>Project           | S/O<br>Unnumbered<br>Memo                            | Approval<br>Official  | Indefinite              |                   |
|               | Certific./<br>Running<br>Record/<br>Memo | Interview concerning relatives working with RD (document)  | 3<br>Project           | 1942.1(a)  | A/O                   | Indefinite              |                   |
|               | N/A                                      | Eligibility determination and recommendations  | 3<br>Project           | 1942.2(a)(1)(i)                                      | A/O                   | Indefinite              |                   |
|               | 1940-20                                  | Request for Environmental Information  | 3<br>Env. File         | 1940-G   | Applicant             | Indefinite              |                   |
|               | 1940-22                                  | Categorical Exclusion  | 3<br>Env. File         | 1940-G   | A/O                   | Indefinite              |                   |
|               | 1940-21                                  | Environmental Assessment for Class I Action  | 3<br>Env. File         | 1940-G;<br>RD AN No.<br>3745                         | A/O                   | Indefinite              |                   |
|               | Exh. H                                   | Environmental Assessment for Class II Action   | 3<br>Env. File         | 1940-G   | A/O                   | Indefinite              |                   |
|               | N/A                                      | Public Preliminary Notification<br>Flood<br>Plain/Wetland/Farmland/Cultural<br>Resources Impacts   | 3<br>Env. File         | 1940-G   | Applicant<br>A/O      | Indefinite              |                   |

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|  |                            |  |                |   |                  |            |  |
|--|----------------------------|--|----------------|---|------------------|------------|--|
|  | N/A                        | Public Final Notification Flood Plain/Wetland/Farmland/Cultural Resources Impacts  | 3<br>Env. File | 1940-G  | Applicant<br>A/O | Indefinite |  |
|  | N/A                        | Finding of No Significant Impact (FONSI)   | 3<br>Env. File | 1940-G  | Applicant<br>A/O | Indefinite |  |
|  | RD<br>2006-38              | Civil Rights Impact Analysis with attachments: Census data and map of service area identifying location of proposed site, any minority or low-income community, industrial sites (such as sewage and solid waste treatment facilities and industrial parks), railroad tracks, and farms that routinely crop-dust | 3<br>Project   | RD AN No.<br>3776 (2006-P)                                      | A/O              | Indefinite |  |
|  | N/A                        | Resolution accepting LOC and mitigation measures for environmental (as needed)   | 3<br>Project   | Doc. of Min.  | Applicant        | Indefinite |  |
|  | AD-622                     | Notice of Preapplication Review Action   | 3<br>Project   | 1942.2(a)(2)(iv)  | A/O              | Indefinite |  |
|  | Memo/<br>Running<br>Record | Dun and Bradstreet Data Universal Numbering System (DUNS Number)   | 3<br>Borrower  | OMB<br>Requirement/<br>State Office<br>memo dated<br>01/21/2004 | Applicant        | Indefinite |  |
|  | SF-424.1<br>SF-424.2       | Application for Federal Assistance   | 3<br>Project   | 1942.2(c)   | Applicant        | Indefinite |  |
|  | Guide 26,<br>Part 1        | Project Selection Criteria   | 3<br>Project   | 1942.17(c)(2)<br>(iii)  | A/O              | Indefinite |  |
|  | 3570-1                     | Project Selection Criteria (Grants)  | 3<br>Project   | 3570-B,<br>3570.67  | A/O              | Indefinite |  |
|  | 1942-43                    | Project Summary with fund analysis and operating budget attached   | 3<br>Project   | 1942.5(c)   | A/O              | Indefinite |  |
|  | 442-7                      | Operating Budget   | 3<br>Project   | 1942.5(c)   | A/O              | Indefinite |  |
|  | Audit/<br>442-3            | Current Balance Sheet/Audit  | 3<br>Project   | 1942.2(a)(v)  | Applicant        | Indefinite |  |
|  | 1940-Q<br>Exh. A-1         | Certification for Contracts, Grants, and Loans   | 3<br>Project   | 1940-Q,<br>1940.810   | Applicant        | Indefinite |  |
|  | AD-1047<br>Printout        | (a)Debarment/Suspension Certification<br>(b)Screenprint of Name Search on Internet   | 3<br>Project   | 1940-M,<br>1940-606(b)(1)<br>1940.603(e)                        | Applicant<br>A/O | Indefinite |  |
|  | 1910-11                    | Applicant Certification - Federal Collection Policies  | 3<br>Project   | 1942.5(a)(1)(i)   | Applicant        | Indefinite |  |
|  | AD-1048                    | Certification Concerning Debarment, etc. (Lower Tiered Transactions where contracts equal or exceed \$25,000)  | 3<br>Project   | 1940-M,<br>1940.606(b)(1)                                       | Applicant        | Indefinite |  |

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|  |                                |  |           |  |           |            |  |
|--|--------------------------------|--|-----------|--|-----------|------------|--|
|  | AD-1049                        | Drug-Free Workplace Certification (Grants Only)  | 3 Project | 1940-M, 1940.606(b)(2)   | Applicant | Indefinite |  |
|  | AD-1180                        | Survey on Ensuring Equal Opportunity for Applicants [required for non-profit grant applicants] | 3 Project | N/O and S/O unnumbered memorandums dated 7/23/03 and 8/7/03 respectively | Applicant | Indefinite |  |
|  | 400-4                          | Assurance Agreement  | 3 Project | 1942.17(n)(2) (x)  | Attorney  | Indefinite |  |
|  | 442-2                          | Copy of present overall budget   | 3 Project | 1942-A   | Applicant | Indefinite |  |
|  | Notice and Minutes             | Public Notice Meeting and Minutes  | 3 Project | 1942.17(j)(9)  | Attorney  | Indefinite |  |
|  | Memo                           | Authorization to deliver LOC   | 3 Project | 1942.5(a)(3)   | S/O       | Indefinite |  |
|  | LOC                            | Letter of Conditions   | 3 Project | 1942.5(a)(1)   | A/O       | Indefinite |  |
|  | 1942-46                        | Letter of Intent to Meet Conditions  | 3 Project | 1942.5(c)(3)   | Applicant | Indefinite |  |
|  | Memo/ Running Record/ Printout | Certification that CAIVRS has been checked at closing  | 3 Project | S/O Unnumbered Memo  | A/O       | Indefinite |  |
|  | N/A                            | Review of Accounting/Auditing Procedures   | 3 Project | 1942.17(r) Closing Instr.  | A/O       | Indefinite |  |
|  | Internet Printout              | Final Certification of Debarment   | 3 Project | 1940-M, 1940.603(e)  | A/O       | Indefinite |  |

## COMMUNITY FACILITIES LOANS AND/OR GRANTS

### POSITION 4

| SO<br>USE | FORMS                      | DOCUMENT/ACTION                                     | FILE<br>POS./<br>TYPE | REFERENCE    | PREPARED<br>BY | RETENTION<br>PERIOD | DATE<br>REC'D |
|-----------|----------------------------|---|-----------------------|--------------|----------------|---------------------|---------------|
|           | Memo                       | Confirmation Letter -<br>(Application Conference)   | 4<br>Project          | 1942.2(c)(3) | A/O            | Indefinite          |               |
|           | Memo                       | Conference to discuss Letter of<br>Conditions       | 4<br>Project          | 1942.5(c)    | A/O            | Indefinite          |               |
|           | Memo                       | Approval of Legal Services<br>Agreement             | 4<br>Project          | 1942.4       | S/O            | Indefinite          |               |
|           | Memo                       | Approval of Engineering/<br>Architectural Agreement | 4<br>Project          | 1942.4       | S/O            | Indefinite          |               |
|           | Memo                       | Request Loan Closing Instructions                   | 4<br>Project          | 1942.6(a)    | A/O            | Indefinite          |               |
|           | Letters,<br>Memos,<br>etc. | Correspondence                                      | 4<br>Project          | N/A          | Various        | 5 years             |               |

**COMMUNITY FACILITIES LOANS AND/OR GRANTS**

**POSITION 5**

| <b>SO USE</b> | <b>FORMS</b> | <b>DOCUMENT/ACTION</b>   | <b>FILE POS./ TYPE</b> | <b>REFERENCE</b>       | <b>PREPARED BY</b> | <b>RETENTION PERIOD</b> | <b>DATE REC'D</b> |
|---------------|--------------|--|------------------------|------------------------|--------------------|-------------------------|-------------------|
|               | N/A          | Organizational Documents:<br>a. Bylaws<br>b. Certificate Of Incorporation and Amendments<br>c. Articles of Incorporation and Amendments<br>d. Certification of Existence<br>e. Attorney's opinion regarding organization and authority | 5 Project              | 1942.2(a)(1)(v)        | Applicant          | Indefinite              |                   |
|               | N/A          | Certificate of Good Standing   | 5 Project              | Closing Instructions   | SCC Applicant      | Indefinite              |                   |
|               | N/A          | OGC Review of Organizational Documents   | 5 Project              | 1942.2(a)(1)(v)        | OGC                | Indefinite              |                   |
|               | Memo         | Minutes adopting all required Agency forms   | 5 Project              | LOC                    | Applicant          | Indefinite              |                   |
|               | N/A          | Contract of Assured Income   | 5 Project              | 1942.17(g)(3)          | Applicant          | Indefinite              |                   |
|               | Guide 14     | Legal Services Agreement   | 5 Project              | 1942.17(l)(1)          | Applicant Attorney | Indefinite              |                   |
|               | 1942-47      | Loan Resolution  | 5 Project              | 1942.17(n)(2)          | Applicant          | Indefinite              |                   |
|               | 1942-9       | Loan Resolution Security Agreement   | 5 Project              | 1942.17(n)(2)          | Applicant          | Indefinite              |                   |
|               | 1942-8       | Resolution of Members or Stockholders  | 5 Project              | 1942.17(j)(1)          | Applicant          | Indefinite              |                   |
|               | 442-20       | Rights-of-Way/Easements  | 5 Project              | 1942.17(j)(4)(i)(A)    | Attorney           | Indefinite              |                   |
|               | 442-21       | Rights-of-Way Certificate  | 5 Project              | 1942.17(j)(4)(i)       | Applicant          | Indefinite              |                   |
|               | 442-22       | Opinion of Counsel Relative to Rights-of-Way   | 5 Project              | 1942.17(j)(4)(i)       | Attorney           | Indefinite              |                   |
|               | 1927-9       | Preliminary Title Opinion  | 5 Project              | 1942.17(j)(4)(i)(B)    | Attorney           | Indefinite              |                   |
|               | Binder       | Title Insurance Binder   | 5 Project              | 1942.17(j)(4)(i)(B)(1) | Title Co.          | Indefinite              |                   |
|               | 440-34       | Deeds or Options to Purchase   | 5 Project              | 1942.17(j)(4)(i)       | Applicant Attorney | Indefinite              |                   |
|               | Guide 24     | Management Agreement   | 5 Project              | 1942.17(l)(3)          | Applicant          | Indefinite              |                   |
|               | 400-8        | Compliance Review  | 5 Project              | 1942.6(c) and 1901-E   | A/O                | Indefinite              |                   |
|               | Memo         | Certified list of officers and terms of officers   | 5 Project              | 1942.17(q)(2)(ii)(A)   | Applicant          | Until replaced          |                   |

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|  |                                 |  |              |                            |                        |            |  |
|--|---------------------------------|--|--------------|----------------------------|------------------------|------------|--|
|  | N/A                             | Loan closing instructions                                | 5<br>Project | 1942.17(o)                 | S/O<br>OGC             | Indefinite |  |
|  | VA 1942-A,<br>Exh. D,<br>Att. 1 | Deed of Trust  | 5<br>Project | LOC                        | A/O<br>Applicant       | Indefinite |  |
|  | 1927-10                         | Final Title Opinion                                      | 5<br>Project | 1942.17(j)(4)(i)<br>(B)    | Attorney               | Indefinite |  |
|  | Policy                          | Title Insurance Policy                                   | 5<br>Project | 1942.17(j)(4)(i)<br>(B)(1) | Title Co.<br>Applicant | Indefinite |  |
|  | VA 1942-A,<br>Exh. D,<br>Att. 4 | Attorney's certifications                                | 5<br>Project | Closing<br>Instructions    | Attorney               | Indefinite |  |
|  | Letter                          | Attorney's narrative opinion<br>concerning permits, etc. | 5<br>Project | LOC                        | Attorney               | Indefinite |  |
|  | N/A                             | Post Review  | 5<br>Project | 1942.17(o)(4)              | S/O<br>OGC             | Indefinite |  |

**COMMUNITY FACILITIES LOANS AND/OR GRANTS**

**POSITION 6**

| <b>SO USE</b> | <b>FORMS</b>                 | <b>DOCUMENT/ACTION</b>  | <b>FILE POS./ TYPE</b> | <b>REFERENCE</b>         | <b>PREPARED BY</b>                   | <b>RETENTION PERIOD</b>           | <b>DATE REC'D</b> |
|---------------|------------------------------|---|------------------------|--------------------------|--------------------------------------|-----------------------------------|-------------------|
|               | Guide 5                      | Financial Feasibility Report  | 6 Project              | 1942.17(h)(1)            | Applicant Engineer/ Architect        | Indefinite                        |                   |
|               | Guides 6 through 10          | Preliminary Engineering/ Architectural Report   | 6 Project              | 1942.18(c)               | Engineer/ Architect                  | Indefinite                        |                   |
|               | EJCDC or AIA Forms           | Agreement for Engineering/ Architectural Services   | 6 Project              | 1942.18(b)               | Engineer/ Architect                  | Indefinite                        |                   |
|               | 400-1                        | Equal Opportunity Agreement   | 6 Project              | 1942.17(n)(2) (x)        | Applicant                            | Indefinite                        |                   |
|               | N/A                          | Final plans, specifications and bid documents   | 6 Project              | 1942.18(e)               | Engineer/ Architect                  | Indefinite                        |                   |
|               | Guides 17, 18, and 19        | Construction contracts completed and executed   | 6 Construc. Portfolio  | 1942.18(e)               | Engineer/ Architect                  | 3 yrs. After Bldrs. Warr. expires |                   |
|               | Memo                         | Concurrence in Contract Awards  | 6 Construc. Portfolio  | 1942.18(e)               | S/O                                  | Indefinite                        |                   |
|               | 1924-16                      | Preconstruction Conference  | 6 Construc. Portfolio  | 1942.18(o)(1)            | Engineer/ Architect                  | 3 yrs. After Bldrs. Warr. expires |                   |
|               | 1924-12                      | Periodic Inspections  | 6 Construc. Portfolio  | 1942.18(p)(4)            | A/O                                  | Indefinite                        |                   |
|               | 1924-12<br>1924-18<br>SF-271 | Prefinal Inspection and close-out documents consisting of:<br>Inspection Report<br>Partial Pay Estimate<br>Outlay Report<br>Applicant's acceptance<br>Engineer's certification<br>Evidence that as-built drawings are on file<br>Evidence of O&M Manual<br>Evidence of Warranty<br>Punch List | 6 Construc. Portfolio  | 1942.18(o)(5)            | A/O<br>Applicant Engineer/ Architect | Indefinite                        |                   |
|               | 1924-12                      | Final Inspection  | 6 Construc. Portfolio  | 1942.18(o)(6)            | Applicant Engineer/ Architect<br>A/O | Indefinite                        |                   |
|               | Memo                         | Authorization given to advertise/ receive bids  | 6 Project              | LOC                      | S/O<br>A/O                           | Indefinite                        |                   |
|               | Memo                         | Notice to proceed with construction   | 6 Project              | 1942-A, Guide 19, Att. 8 | Applicant Engineer/ Architect        | Indefinite                        |                   |

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|  |         |   |                             |                  |                                     |            |  |
|--|---------|---|-----------------------------|------------------|-------------------------------------|------------|--|
|  | Various | Certificate of Occupancy<br>Consent of Surety Company<br>Contractor's Release<br>FHA 1924-9<br>Contractor's Final Pay Estimate<br>Approval of Septic/Water System | 6<br>Construc.<br>Portfolio | Various          | Applicant<br>Engineer/<br>Architect | Indefinite |  |
|  | 1924-12 | Warranty Inspection   | 6<br>Construc.<br>Portfolio | 1942.17(r)(3)(i) | A/O                                 | Indefinite |  |

**COMMUNITY FACILITIES LOANS AND/OR GRANTS**

**POSITION 7**

| <b>SO<br/>USE</b> | <b>FORMS</b>                        | <b>DOCUMENT/ACTION</b>  | <b>FILE<br/>POS./<br/>TYPE</b> | <b>REFERENCE</b>                | <b>PREPARED<br/>BY</b> | <b>RETENTION<br/>PERIOD</b> | <b>DATE<br/>REC'D</b> |
|-------------------|-------------------------------------|---|--------------------------------|---------------------------------|------------------------|-----------------------------|-----------------------|
|                   | List of policies or other documents | Evidence of insurance -- property, general liability, flood, and workmen's compensation | 7<br>Project                   | 1942.17(j)(3)(i)<br>(A) and (D) | Applicant              | Until replaced/<br>expires  |                       |
|                   | 440-24 or similar form              | Fidelity bond   | 7<br>Project                   | 1942.17(j)(3)(ii)               | Applicant              | Until replaced/<br>expires  |                       |

COMMUNITY FACILITIES LOANS AND/OR GRANTS

POSITION 8

| SO<br>USE | FORMS     | DOCUMENT/ACTION                                  | FILE<br>POS./<br>TYPE | REFERENCE  | PREPARED<br>BY | RETENTION<br>PERIOD | DATE<br>REC'D |
|-----------|-----------|--|-----------------------|--|----------------|---------------------|---------------|
|           | Appraisal | Appraisal of real estate and chattel<br>property | 8<br>Project          | 1942.17(g)(2)<br>(iii)(B)(2) and<br>1942.17(g)(3)<br>(iii)(B)(2) | Appraiser      | Indefinite          |               |

**COMMUNITY FACILITIES GUARANTEE LOANS**

**POSITION 2**

| <b>SO<br/>USE</b> | <b>FORMS</b> | <b>DOCUMENT/ACTION</b>  | <b>FILE<br/>POS./<br/>TYPE</b> | <b>REFERENCE</b> | <b>PREPARED<br/>BY</b> | <b>RETENTION<br/>PERIOD</b> | <b>DATE<br/>REC'D</b> |
|-------------------|--------------|---|--------------------------------|------------------|------------------------|-----------------------------|-----------------------|
|                   | 1940-3       | Request for Obligation of Funds   | 2<br>Project                   | 3575.57          | A/O<br>S/O             | Indefinite                  |                       |
|                   | 449-14       | Conditional Commitment to Lender  | 2<br>Project                   | 3575.53          | S/O                    | Indefinite                  |                       |
|                   | 449-14       | Acceptance of Conditions  | 2<br>Project                   | 3575.59          | Lender<br>Borrower     | Indefinite                  |                       |
|                   | 449-14       | Add, delete, or change guaranteed<br>loan borrower info (initial loans) | 2<br>Project                   | 3575.59          | A/O<br>S/O             | Indefinite                  |                       |

**COMMUNITY FACILITIES GUARANTEED LOANS**

**POSITION 3**

| SO USE | FORMS            | DOCUMENT/ACTION  | FILE POS./ TYPE | REFERENCE                  | PREPARED BY     | RETENTION PERIOD | DATE REC'D |
|--------|------------------|--|-----------------|----------------------------|-----------------|------------------|------------|
|        | N/A              | Application Conference - to discuss guarantee requirements, application process, determine basic eligibility of applicant and project, environmental requirements (may be conducted by telephone)  | 3 Project       | 3575.52(a)(b)              | A/O             | Indefinite       |            |
|        | Letter           | Letter to lender and borrower confirming decisions reached at application conference and regarding environmental review process  | 3 Project       | 3575.9(a)                  | A/O             | Indefinite       |            |
|        | SF424.1 or 424.2 | Application for Federal Assistance   | 3 Project       | 3572.52(b)                 | Borrower        | Indefinite       |            |
|        | 1940-20          | Request for Environmental Information  | 3 Project       | 1940-G                     | Borrower        | Indefinite       |            |
|        | 1940-22          | Categorical Exclusion  | 3 Project       | 1940-G                     | A/O             | Indefinite       |            |
|        | 1940-21          | Environmental Assessment for Class I Action  | 3 Project       | 1940-G; RD AN No. 3745     | A/O             | Indefinite       |            |
|        | Exhibit H        | Environmental Assessment for Class II Action   | 3 Project       | 1940-G                     | A/O             | Indefinite       |            |
|        | N/A              | Public Preliminary Notification Floodplain/Wetland/Farmland/Cultural Resources Impacts   | 3 Project       | 1940-G                     | Borrower<br>A/O | Indefinite       |            |
|        | N/A              | Public Final Notification Floodplain/Wetland/Farmland/Cultural Resources Impacts   | 3 Project       | 1940-G                     | Borrower<br>A/O | Indefinite       |            |
|        | N/A              | Finding of No Significant Impact (FONSI)   | 3 Project       | 1940-G                     | Borrower<br>A/O | Indefinite       |            |
|        | RD 2006-38       | Civil Rights Impact Analysis with attachments: Census data and map of service area identifying location of proposed site, any minority or low-income community, industrial sites (such as sewage and solid waste treatment facilities and industrial parks), railroad tracks, and farms that routinely crop-dust | 3 Project       | RD AN No. 3776 (2006-P)    | A/O             | Indefinite       |            |
|        | Credit Report    | Credit Reports from Lender (if obtained)   | 3 Project       | 3575.52(b)                 | Lender          | Indefinite       |            |
|        | Letter           | Request Planning District Review   | 3 Project       | 1942.17(m)(i) and RD 1940J | Borrower        | Indefinite       |            |
|        | Letter           | Certification that Credit Unavailable without Guarantee  | 3 Project       | 3575.20(a)                 | Lender          | Indefinite       |            |

**Virginia Instruction 2033-A**  
**Exhibit B, Guide 3**  
**Page 3**

|  |                            |  |           |                                   |          |            |  |
|--|----------------------------|--|-----------|-----------------------------------|----------|------------|--|
|  | Letter                     | Eligibility Determination and Recommendation   | 3 Project | 1942.2(a)(1)(i)                   | A/O      | Indefinite |  |
|  | Letter                     | Copy of application, eligibility determination, and recommendation to S/O with request to process  | 3 Project | 1942.2(a)(1)(i)                   | A/O      | Indefinite |  |
|  | See Forms                  | Processing Conference (furnish to lender Forms 3575-1, 1940-20, 449-14, 449-34, 449-35, and RD Instruction 3575-A and examples of certification of lender (3575.63) and loan closing opinion | 3 Project | 3575.63(a)(b)(c)(d)(e)(f)(g)      | A/O      | Indefinite |  |
|  | Letter                     | State Office review/Authorization to process   | 3 Project | Memo                              | S/O      | Indefinite |  |
|  | 3575-1                     | Application for Loan and Guarantee   | 3 Project | 3572.52(b)                        | Borrower | Indefinite |  |
|  | Printouts / Running Record | a)Current/Past Debt History with RD<br>b)CAIVRS  | 3 Project | 1942.2(a)(v) S/O Unnumbered Memo  | A/O      | Indefinite |  |
|  | Guide 5                    | Financial Feasibility Report   | 3 Project | 1942.17(h)(1)(i)(ii)              | Lender   | Indefinite |  |
|  | 1942-43                    | Project Summary  | 3 Project | 1942.5(c)                         | A/O      | Indefinite |  |
|  | 1942-14                    | Fund Analysis  | 3 Project | 1942.5(c)(3)                      | A/O      | Indefinite |  |
|  | 442-7                      | Operating Budget   | 3 Project | 1942.5(c)                         | A/O      | Indefinite |  |
|  | N/A                        | Rural Development conducts cursory review to ensure all conditional commitment requirements have been met  | 3 Project | 3575.63                           | A/O S/O  | Indefinite |  |
|  | 451-2                      | Guaranteed Loan Fee submitted to Finance Office on Form 451-2  | 3 Project | 3575.64(b)                        | A/O      | Indefinite |  |
|  | N/A                        | Guaranteed Loan System is populated with lender and borrower Information   | 3 Project | Guaranteed Loan System User Guide | A/O      | Indefinite |  |
|  | 449-36                     | If lender is selling the guaranteed portion on the secondary market to a holder, RD executes Form 449-36, along with Incumbency Letter   | 3 Project | 3575.64(c)                        | A/O      | Indefinite |  |
|  | SF-3881                    | Obtain banking information from borrower and populate EFT database   | 3 Project | EFT Handbook                      | A/O      | Indefinite |  |

## COMMUNITY FACILITIES GUARANTEED LOANS

### POSITION 5

| SO<br>USE | FORMS            | DOCUMENT/ACTION  | FILE<br>POS./<br>TYPE | REFERENCE                     | PREPARED<br>BY | RETENTION<br>PERIOD | DATE<br>REC'D |
|-----------|------------------|--|-----------------------|-------------------------------|----------------|---------------------|---------------|
|           | Organ.<br>Docs.  | Organizational Documents<br>a. Cert. of Incorpor. and Amendments<br>b. Art. of Incorpor. and Amendments<br>c. By-Laws<br>d. Attorney's opinion - organization<br>and authorization | 5<br>Project          | 3575.20(b)(c)                 | Borrower       | Indefinite          |               |
|           | Permits          | Copies of permits, certifications, and<br>recommendations from appropriate<br>regulatory agencies  | 5<br>Project          | 3575.43                       | Borrower       | Indefinite          |               |
|           | Lender's<br>Form | Lender's Credit Analysis   | 5<br>Project          | 3575.47                       | Lender         | Indefinite          |               |
|           | Lender's<br>Form | Proposed Loan Agreement  | 5<br>Project          | 3575.52(b)                    | Lender         | Indefinite          |               |
|           | AD-1048          | Certification Regarding Debarment<br>(Lower Tiered Transactions)   | 5<br>Project          | 1940-M,<br>1940.606(b)(1<br>) | Lender         | Indefinite          |               |
|           | 449-35           | Lender's Agreement   | 5<br>Project          | 3575.64(a)                    | A/O            | Indefinite          |               |
|           | 449-34           | Loan Note Guarantee  | 5<br>Project          | 3575.64(b)                    | A/O            | Indefinite          |               |

**COMMUNITY FACILITIES GUARANTEED LOANS**

**POSITION 6**

| <b>SO<br/>USE</b> | <b>FORMS</b> | <b>DOCUMENT/ACTION</b>  | <b>FILE<br/>POS./<br/>TYPE</b> | <b>REFERENCE</b> | <b>PREPARED<br/>BY</b> | <b>RETENTION<br/>PERIOD</b> | <b>DATE<br/>REC'D</b> |
|-------------------|--------------|---|--------------------------------|------------------|------------------------|-----------------------------|-----------------------|
|                   | N/A          | Lender sends copies of the following<br>executed documents to RD after loan<br>closing:<br>a) Loan Agreement<br>b) Lender's loan documents<br>c) Lender's Agreement (Form 449-35)<br>d) Closing certifications (review)<br>e) Guaranteed Loan Fee | 6<br>Project                   | 3575.64          | A/O<br>Lender          | Indefinite                  |                       |

COMMUNITY FACILITIES GUARANTEED LOANS  
  
POSITION 8

| SO<br>USE | FORMS               | DOCUMENT/ACTION                              | FILE<br>POS./<br>TYPE | REFERENCE  | PREPARED<br>BY      | RETENTION<br>PERIOD | DATE<br>REC'D |
|-----------|---------------------|--|-----------------------|------------|---------------------|---------------------|---------------|
|           | Appraisal<br>Report | Appraisal Reports (if required<br>by lender) | 8<br>Project          | 3575.49(a) | Borrower/<br>Lender | Indefinite          |               |